



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent  
Attorney Docket: 258/193

#4  
2-25-02  
P.C.

In re the Application of:

WANG, Kangsheng

Serial No.: 09/781,046

Filed: 02/08/2001

For: A METHOD AND SYSTEM FOR  
INTRODUCING A GENE INTO A HUMAN  
STEM CELL

)  
) **Group Art Unit:** 1632  
)

) **Examiner:** To be assigned  
)  
)  
)  
)  
)  
)  
)  
)  
)  
)  
)

RECEIVED

FEB 20 2002

TECH CENTER 1600/2900

TRANSMITTAL

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicant submits the following documents with this Transmittal Letter.

- (1) Information Disclosure Statement;
- (2) Form PTO-1449; and
- (3) References EE; BJ through DA; DG through DJ.

Respectfully submitted,

LYON & LYON LLP

Dated: February 4, 2002

By: 

Samuel N. Tiu  
Reg. No. 47,997

633 West Fifth Street, Suite 4700  
Los Angeles, California 90071-2066  
(213) 489-1600

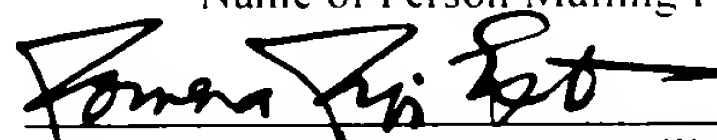
LA-225904.1

CERTIFICATE OF MAILING  
(37 C.F.R. §1.8a)

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231.

February 04, 2002  
Date of Deposit

Rowena R. Estrada  
Name of Person Mailing Paper

  
Signature of Person Mailing Paper

Patent  
258/193

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

**WANG, Kangsheng**

**Serial No.:** 09/781,046

**Filed: 02/08/2001**

**For: A METHOD AND SYSTEM FOR INTRODUCING A GENE INTO A HUMAN STEM CELL**

**Group Art Unit: 1632**

**Examiner:** to be assigned

## INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with 37 CFR §§ 1.97 and 1.98, the items identified in this Information Disclosure Statement (“IDS”) are brought to the attention of the Office. The items are listed on the attached form PTO-1449 and copies are enclosed for the convenience of the Examiner. Copies of documents AA, AB-BI are not submitted since they have already been provided to the Examiner in the parent application, U.S. Patent Application Serial No. 09/537,861. Copies of documents DB through DF are also not provided since they were cited by the Examiner in the same parent application.

The items identified in this IDS may or may not be “material” pursuant to 37 CFR § 1.56. The submission thereof by Applicant is not to be construed as an admission that any such patent, publication or other information referred to therein is material or considered to be material (37 CFR § 1.97(h)), or even qualifies as “prior art” under 35 USC § 102 with respect to this invention unless specifically designated by Applicant as such.

**INFORMATION DISCLOSURE STATEMENT FILING PROVISION:**

☒ This IDS is believed to be timely in that it is being submitted under 37 CFR § 1.97(b), that is (1) within three months of the filing date of the application, which is not a continued prosecution application filed under § 1.53(d); or (2) within three months of entry of the national stage as set forth in 37 CFR § 1.491; or (3) before the mailing of a first Office action on the merits; or (4) before the mailing of a first Office action after filing a request for continued examination under § 1.114. Thus, no fee is required.

- ☒ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and charge the fee due under 37 CFR § 1.17(p) to the deposit account referenced below.
- ☐ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and a statement under 37 CFR § 1.97(e) is included below, thus no fee is required.
- ☐ This IDS is being submitted under 37 CFR § 1.97(c), that is after mailing of a first Office action on the merits, but before a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311.
- ☐ The fee due under 37 CFR § 1.17(p) is submitted herewith.
- ☐ A statement under 37 CFR § 1.97(e) is included below, thus no fee is required. In the event that this IDS is not received before a Final Action or a Notice of Allowance, then Applicant respectfully requests that the Office consider the filing of these papers to be submitted under 37 CFR § 1.97(d) and charge the fee due under 37 CFR § 1.17(p) to the deposit account below.
- ☐ This IDS is being submitted under 37 CFR § 1.97(d), that is after a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311, but before payment of the issue fee. A statement under 37 CFR § 1.97(e) is included below. The fee due under 37 CFR § 1.17(p) is submitted herewith.

**STATEMENT UNDER 37 CFR § 1.97(e):**

- ☐ Each item contained in this IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS.
- ☐ No item contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this statement after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this IDS.

**PAYMENT AND/OR AUTHORIZATION TO CHARGE FEES:**

- ☐ A check in the amount of \_\_\_\_\_ is enclosed for the above fee(s).  
☐ Please charge \_\_\_\_\_ to Deposit Account No. **12-2475** for the above fee(s).

The Commissioner is authorized to charge any fees required by the filing of these papers, and to credit any overpayment to Lyon & Lyon's Deposit Account No. **12-2475**.

Respectfully submitted,  
LYON & LYON LLP

Dated: 2/4/02

By: \_\_\_\_\_

*Samuel N. Tiu*  
Samuel N. Tiu  
Reg. No. 47,997



**22249**

LYON & LYON LLP  
633 W. Fifth Street,  
Suite 4700  
Los Angeles, CA  
90071